

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Cornstein, David

Ambassador to Hungary, Department of State

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- **Committee on Foreign Relations**
-

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Cornstein, David [electronically signed on 08/22/2017 by Cornstein, David in Integrity.gov]

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Huitema, David, Certifying Official [electronically signed on 02/27/2018 by Huitema, David in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 03/02/2018 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Pinnacle Advisors, Ltd.	New York City, New York	Limited Liability Co.	Chairman	1/1999	Present
2	Jacob Javits Development Corporation	New York, New York	Corporation	Board Member (uncompensated)	1/2003	12/2015
3	Family Trust	New York, New York	Trust	Trustee	11/2005	Present
4	The David & Sheila Cornstein Foundation	New York, New York	Non-Profit	President	3/1989	Present

2. Filer's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA #1		No			
1.1	ACS ACTIV DE CONSTRUCT Y SERV (ACSAY)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	ADECCO GROUP AG ADR (AHEXY)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3	AEGON NV ADR (AEG)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.4	AERCAP HOLDINGS N.V. (AER)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.5	AIA GROUP LTD SPON ADR (AAGIY)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.6	AIRBUS GROUP (EADSY)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.7	AMBEV S A SPONSORED ADR (ABEV)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.8	ARCELORMITTAL CL A NY REGISTRY (MT)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.9	ASTELLAS PHARMA INCADR (ALPMY)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
1.10	AXA ADS (AXAHY)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.11	BAIDU INC ADS (BIDU)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.12	BANCO BILBAO VIZ ARG SA ADS (BBVA)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.13	BHP BILLITON PLC SPONS ADR (BBL)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.14	CANADIAN NATURAL RESOURCES LTD (CNQ)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.15	CARLSBERG AS (CABGY)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.16	CARREFOUR SA SPONSORED ADR (CRRFY)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.17	CHINA MOBILE LTD (CHL)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.18	CK HUTCHINSON HLDGS LTD ADR (CKHUY)	See Endnote	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.19	DBS GROUP HOLDINGS LTD SP (DBSDY)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.20	DEUTSCHE POST AG SPONSORED ADR (DPSGY)	See Endnote	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.21	DNB ASA SPONSORED ADR (DNHBY)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.22	E.ON SE (EONGY)	See Endnote	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
1.23	ENGIE SPONS ADR (ENGIY)	See Endnote	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.24	ESSILOR INTL SA SPONS ADR (ESLOY)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.25	FRESENIUS MEDICAL CARE AG & CO (FMS)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.26	GEMALTO NV SPON ADR (GTOMY)		N/A	None (or less than \$1,001)		None (or less than \$201)
1.27	HSBC HOLDINGS PLC SPON ADR NEW (HSBC)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.28	INTESA SANPAOLO S.P.A. ADR (ISNPY)	See Endnote	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.29	JULIUS BAER GROUP LTD UN ADR (JPAXY)	See Endnote	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.30	KOMATSU LTD SPON ADR NEW (KMTUY)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.31	KONINKLIJKE PHIL EL SP ADR NEW (PHG)		N/A	None (or less than \$1,001)		None (or less than \$201)
1.32	MAZDA MTR CORP ADR (MZDAY)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.33	MITSUBISHI EST ADR (MITEY)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.34	MURATA MANUFACTURING CO LTD (MRAAY)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.35	ORANGE NEW (ORAN)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.36	OTSUKA HOLDINGS CO LETD UNS ADR (OTSKY)	See Endnote	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.37	PANASONIC CORP - SPON ADR (PCRFY)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.38	ROCHE HOLDINGS ADR (RHHBY)	See Endnote	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.39	ROYAL DSM NV SPONSORED ADR (RDSMY)	See Endnote	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.40	ROYAL DUTCH SHELL PLC (RDS'A)		N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
1.41	ROYAL KPN NV SPONS ADR (KKPNY)	See Endnote	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
1.42	SCHLUMBERGER LTD (SLB)	See Endnote	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.43	SECOM LTD ADR (SOMLY)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.44	SEIKO EPSON CORP SUWA UNSP ADR (SEKEY)	See Endnote	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.45	SMITH & NEPHEW PLC ADR (SNN)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.46	SOCIETE GENERALE SP ADR (SCGLY)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
1.47	SUMITOMO MITSUI FINL GROUP INC (SMFG)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.48	SUNTORY BEVERAGE AND FOOD LTD (STBFY)		N/A	None (or less than \$1,001)		None (or less than \$201)
1.49	TATA MOTORS LTD (TTM)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.50	TOTAL S A SPON ADR (TOT)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.51	VIVENDI SA UNSPON ADR (VIVHY)	See Endnote	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
1.52	SEVEN & I HLDGS CO LTD ADR(SVNDY)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.53	US BROKER IRA #1 (CASH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	IRA #2	No			
2.1	ALPHABET INC CL A (GOOGL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.2	ALPHABET INC CL C (GOOG)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.3	AMAZON COM INC. (AMZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.4	APPLE INC (AAPL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.5	BERKSHIRE HATHAWAY CL-B NEW (BRK'B)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.6	CELGENE CORP (CELG)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.7	CHARTER COMMUNICATIONS (CHTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.8	FACEBOOK INC. CL-A (FB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.9	JD COM INC SPON ADR CL A (JD)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.10	JPMORGAN CHASE & CO (JPM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.11	KANSAS CY SOUTHN IND NEW (KSU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.12	LIBERTY BROADBAND CORP S-C (LBRDK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.13	MASTERCARD INC CL A (MA)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.14	NATIONAL OILWELL VARCO INC (NOV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.15	NVR INCORPORATED NEW (NVR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.16	OCCIDENTAL PETROLEUM CORP DE (OXY)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
2.17	PIONEER NATURAL RESOURCES CO (PXD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.18	PRICELINE GRP INC COM NEW (PCLN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.19	RALPHA LAUREN CORP CL A (RL)	N/A	None (or less than \$1,001)		None (or less than \$201)
2.20	REYNOLDS AMERICAN INC (RAI)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
2.21	SOUTHERN COPPER CORP (SCCO)	N/A	None (or less than \$1,001)		None (or less than \$201)
2.22	SWIFT TRANSPORTATION CO CL A (SWFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.23	TECK RESOURCES LTD (TECK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.24	KNIGHT-SWIFT TRANSN HLDGS CL A (KNX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.25	PARSLEY ENERGY INC CL	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.26	US BROKER IRA # 2 (CASH)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	IRA # 3	No			
3.1	ABBVIE INC COM (ABBV)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.2	ALTRIA GROUP INC (N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.3	ANHEUSER BUSCH INBEV SA SPON (BUD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.4	AT&T INC(T)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5	BRITISH AMER TOB SPON ADR (BTI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.6	CHINA MOBILE LTD (CHL)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.7	CISCO SYS INC(CSCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.8	CLOROX CO (CLX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.9	DIAGEO PLC SPON ADR NEW(DEO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.10	EXXON MOBIL CORP(XOM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.11	GENERAL MILLS INC (GIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.12	HOME DEPOT INC (HD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.13	INTEL CORP	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.14	JOHNSON & JOHNSON(JNJ)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.15	MC DONALDS CORP(MCD)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.16	MICROSOFT CORP (MSFT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.17	PFIZER INC (N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.18	PHILIP MORRIS INTL INC (PM	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.19	REYNOLDS AMERICAN INC.		N/A	None (or less than \$1,001)		None (or less than \$201)
3.20	ROYAL DUTCH SHELL PLC CL B(RDS'B)		N/A	\$1,001 - \$15,000		None (or less than \$201)
3.21	TOTAL S A SPON ADR		N/A	None (or less than \$1,001)		None (or less than \$201)
3.22	UNILEVER PLC (NEW) ADS(UL)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.23	VERIZON COMMUNICATIONS(VZ)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.24	VODAFONE GROUP PLC (N/A	None (or less than \$1,001)		None (or less than \$201)
3.25	US BROKER IRA # 3 (CASH)		N/A	\$15,001 - \$50,000		None (or less than \$201)
4	Pinnacle Advisors, sales commission	See Endnote	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
5	PINNACLE ADVISORS, LTD. (consulting firm specializing in commercial transactions between private enterprises, including professional sports teams)		N/A	\$15,001 - \$50,000	BUSINESS INCOME	\$188,657

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Pinnacle Advisors Ltd.	New York, New York	During my appointment to the position of Ambassador to Hungary, Pinnacle Advisors Ltd. will remain dormant and will not advertise. I will not perform any services for the firm, except that I will comply with any requirements involving legal filings, taxes and fees that are necessary to maintain the firm while it is in an inactive status, and the firm will receive any fixed-percentage commissions that are owed to it.	8/2017

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	PINNACLE ADVISORS, LTD	NEW YORK, New York	SOLE OWNER OF BUSINESS CONSULTING FIRM FOCUSING ON COMMERCIAL TRANSACTIONS BETWEEN PRIVATE ENTERPRISES, INCLUDING TRANSACTIONS INVOLVING PROFESSIONAL SPORTS TEAMS)
2	CIRCA JEWELRY	NEW YORK, New York	BUSINESS CONSULTING CLIENT OF PINNACLE ADVISORS, LTD.
3	DAVID & KAREN MORWAY	NEW YORK, New York	BUSINESS CONSULTING CLIENT OF PINNACLE ADVISORS, LTD.
4	MORGAN STANLEY	NEW YORK, New York	BUSINESS CONSULTING CLIENT OF PINNACLE ADVISORS, LTD.
5	GARY SACKS	NEW YORK, New York	BUSINESS CONSULTING CLIENT OF PINNACLE ADVISORS, LTD.
6	FINANCO INC.	NEW YORK, New York	BUSINESS CONSULTING CLIENT OF PINNACLE ADVISORS, LTD.

5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA #1	No			
1.1	ABBVIE INC COM (ABBV)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.2	ALTRIA GROUP INC (MO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3	ANHEUSER BUSCH INBEV SA SPON (BUD)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.4	AT&T INC (T)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.5	BRITISH AMER TOB SPON ADR (BTI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.6	CHINA MOBILE LTD (CHL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.7	CISCO SYS INC (CSCO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.8	CLOROX CO (CLX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.9	DIAGEO PLC SPON ADR NEW (DEO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.10	EXXON MOBIL CORP (XOM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.11	GENERAL MILLS INC (GIS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.12	HOME DEPOT INC (HD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.13	INTEL CORP (INTC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.14	JOHNSON & JOHNSON (JNJ)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.15	MC DONALDS CORP (MCD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.16	MICROSOFT CORP (MSFT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.17	PFIZER INC (PFE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.18	PHILIP MORRIS INTL INC (PM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.19	REYNOLDS AMERICAN INC (RAI)	N/A	None (or less than \$1,001)		None (or less than \$201)
1.20	ROYAL DUTCH SHELL PLC CL B (RDS'B)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.21	TOTAL S A SPON ADR (TOT)	N/A	None (or less than \$1,001)		None (or less than \$201)
1.22	UNILEVER PLC (NEW)ADS (UL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.23	VERIZON COMMUNICATIONS (VZ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.24	VODAFONE GROUP PLC (VOD)	N/A	None (or less than \$1,001)		None (or less than \$201)
1.25	US broker account # 1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US broker account #1 MM (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
2	US broker account # 2	No			
2.1	Las Vegas Sands Corporation (LVS)	N/A	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.2	LOEWS CORPORATION	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
2.3	REMARK HLDGS INC	N/A	\$100,001 - \$250,000		None (or less than \$201)
2.4	AT&T Inc	N/A	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000
3	US broker account # 3	No			
3.1	ALPHABET INC CL A (GOOGL)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3.2	AMAZON COM INC (AMZN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.3	APPLE IN (AAPL)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
3.4	BERKSHIRE HATHAWAY CL-B NEW (BRK'B)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.5	CELEGENE CROP (CELG)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.6	CHARTER COMMUNICATIONS (CHTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.7	FACEBOOK INC CL-A (FB)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.8	JD COM INC SPON ADR CL A (JD)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.9	JPMORGAN CHASE & CO (JPM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.10	KANSAS CY SOUTHN IND NEW (KSU)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.11	LIBERTY BROADBAND CORP S-C (LBRDK)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.12	MASTERCARD INC CL A (MA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.13	NATIONAL OILWELL VARCO INC (NOV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.14	PRICELINE GRP INC COM NEW (PCLN)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3.15	SWIFT TRANSPORTATION CO CL A (SWFT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.16	TECK RESOURCES LTD (TECK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.17	REYNOLDS AMERICAN INC.	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
3.18	ALPHABET INC CL C (GOOG)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.19	CIMAREX ENERGY CO (XEC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.20	NVR INCORPORATED NEW (NVR)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3.21	OCCIDENTAL PETROLEUM CORP DE (OXY)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.22	PARSLEY ENERGY INC CL A (PE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.23	RALPH LAUREN CORP CL A (RL)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.24	SOUTHERN COPPER CORP(SCCO)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.25	US broker account # 3 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	US broker account # 4	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.1	ERIE CNTY N YBE 4250 19MY15	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
4.2	NEW YORK CITY MUNI WTR FIN AU WTR SWR SYS 2ND GENL REV - FF	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
4.3	NEW YORK ST TWY AUTH SECOND GE NL HWY & BRIDGE TRUST FD REV	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
4.4	TRIBOROUGH BRIDGE AND TUNNEL AUTH N Y GEN REV REF-B	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
4.5	METROPOLITAN TRANSN AUTH NY DED TX VAR REV-B-4	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
4.6	ULSTER CNTY NY GENL OBLIG	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
4.7	THE PORT AUTHORITY OF NEW YORK/NEW JERSEY	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
4.8	NEW YORK ST MUNI BOND BANK AGY SPECIAL SCHOOL PU	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
4.9	NEW YORK ST THRUWAY AUTH GENL REV REF-K	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
4.10	ONONDAGA CNTY NY GENL OBLIG REF	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
4.11	LOCKPORT CITY NY SCH DIST	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
4.12	SMITHTOWN NY CENT SCH DIST REF	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
4.13	METROPOLITAN TRANSPORTATION AUTHORITY REV-B3, NEW YORK, NY	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
4.14	CORTLAND CNTY NY GENL OBLIG PUB IMPT	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.15	NEW YORK CITY BE 5000 26JL15	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
4.16	NEW YORK CITY BE 5000 28AU01	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
4.17	NEW YORK ST BE 5000 23JA01	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
4.18	ST OF NEW YORK DOMITORY AUTH COLUMBIA UNI REV-B	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.19	NEW YORK CITY NY GENL OBLIG FISCAL SER-B-1	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
4.20	NEW YORK ST DORM AUTH SALES TAX ST SUPPORTED DEBT REV - A	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
4.21	NEW YORK ST URBAN DEV CORP PERS INCOME TAX REV-A	N/A	\$50,001 - \$100,000		None (or less than \$201)
4.22	BALLSTON SPA MUNI BOND	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
4.23	ERIE CO WTR MUNI BOND, NEW YORK	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
4.24	NEW YORK STATE LO BE	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
4.25	NEW YORK STATE BE	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
4.26	SUFFOLK CNTY - NEW YORK N BE	N/A	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
4.27	DORMITORY AUTH - NEW YORK BE 5000 29OC01	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
4.28	TRIOBOROUGH BRI - NEW YORK BE 4000 21NV15	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5	US broker account # 5	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1	BARON GROWTH INSTITUTIONAL (BGRIX)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
5.2	BARON PARTNERS INSTL (BPTIX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
6	US broker account # 6	No			
6.1	ABB LTD.	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
6.2	ALLIANZ AG REG DEM ORD	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.3	ASTRAZENECA PLC ADS	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.4	BAE SYSTEMS PLC 2.5P ORD	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
6.5	BAYER AG NAMED AKT	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.6	BCE INC (NEW)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
6.7	BHP BILLITON LIMITED AUD ORD	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.8	BNP PARIBAS ORD RU	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.9	BOC HONG KONG HOLDINGS LTD.	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.10	BRITISH AMER TOB SPON ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
6.11	CNOOC LTD	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6.12	DEUTSCH TELEKOM AG REG SHS	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.13	DIAGEO PLC	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.14	ENGIE SA	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.15	GLAXOSMITHKLINE	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.16	HONDA MOTOR CO LTD COMMON	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.17	HSBC HOLDINGS PLC SPON ADR NEW	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.18	IMPERIAL BRANDS PLC SHS	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.19	INVESTOR AB CLASS B FE	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.20	JAPAN TOBACCO INC ORD	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
6.21	MANULIFE FINANCIAL CORP	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.22	MICHELIN CIE GEN DES ETABLISHMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
6.23	MMC NORILSK NICKL PJSC SPS A	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6.24	MUENCHENER RUECKVER DEM ORD	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.25	NESTLE SA CHAM ET VEVEY	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.26	NIPPON TELEG & TELEPHONE COM	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.27	NOVARTIS AD ADR	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.28	ORKLA ASA	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
6.29	ROCHE HLDG AD GENUSSS ORD	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.30	ROYAL DUTCH SHELL PLC B	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
6.31	RTL GROUP SA	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.32	SANOFI EUR ORD	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.33	SIEMENS AG EUR REG ORD	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
6.34	SINGAPORE TELECOM LTD ADR NEW	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
6.35	SMITHS GROUP PLC	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6.36	SONIC HEALTHCARE LTD COM	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
6.37	SSE PLC	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.38	TOTAL S A SPON ADR	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
6.39	UBS GROUP AG SHS	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.40	UNILEVER NV NY SH NEW	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.41	UTD OVERSEAS BK LTD SPON ADR	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.42	VERMILION ENERGY INC	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
6.43	VODAFONE GROUP PLC	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.44	ZURICH INSURANCE GRP LTD ADR	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.45	BANK DEPOSIT PROGRAM (CASH)	N/A	None (or less than \$1,001)		None (or less than \$201)
7	US broker account # 7	No			
7.1	AMERICAN WATER WORKS CO	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
7.2	BABCOCK & WILCOX	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
7.3	BRIXMOR PPTY GROUP IN	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
7.4	BWX TECHNOLOGIES INC COM	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
7.5	HOLOGIC INC.	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
7.6	ITC HOLDINGS	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
7.7	JARDEN CORP	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
7.8	JOHN BEAN TECHNOLOGIES CORP	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
7.9	KEYCORP NEW	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.10	LIBERTY INTERACTIVE CORP QVC A	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
7.11	NASDAQ INC COM	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
7.12	PRESTIGE BRANDS HOLDINGS INC.	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
7.13	RELIANCE STEEL & ALUM CO	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
7.14	SIGNATURE BANK	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
7.15	SIRONA DENTAL SYSTEMS INC.	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
7.16	SIX FLAGS ENTMT CORP NEW	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
7.17	SOVRAN SELF STORAGE	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
7.18	SPECTRUM BRANDS HLDGS INC COM	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
7.19	TELEFLEX INC	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
7.20	VECTOR GROUP LTD.	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
8	US broker account # 8	No			
8.1	SERIES THEMATIC OPP (UNDERLYING ASSETS ARE NOT ASCERTAINABLE)	No	\$250,001 - \$500,000		None (or less than \$201)
9	U.S. bank account # 1 (CASH)	N/A	\$100,001 - \$250,000		None (or less than \$201)
10	U.S. bank account # 2 (CASH)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11	U.S. bank account # 3 (CASH)	N/A	\$15,001 - \$50,000		None (or less than \$201)
12	U.S. bank account # 4 (CASH)	N/A	\$15,001 - \$50,000		None (or less than \$201)
13	US broker account # 9	No			
13.1	ALPHABET INC. CL A	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
13.2	AMAZON COM INC.	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.3	APPLE INC.	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
13.4	BERKSHIRE HATHAWAY CL-B NEW	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
13.5	CELEGENE CORP	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.6	CHARTER COMMUNICATIONS	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.7	INSULET CORP.	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.8	JP MORGAN CHASE & CO.	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
13.9	LIBERTY BROADBAND	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.10	MASTERCARD INC. A	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
13.11	NATIONAL OILWELL VARCO INC.	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.12	NVR INCORPORATED	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.13	OCCIDENTAL PETROLEUM CORP DE	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
13.14	ORACLE CORP	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.15	PRICELINE.COM INC.	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.16	REYNOLDS AMERICAN INC.	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
13.17	SOUTHERN COPPER CORP.	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.18	SWIFT TRANSPORTATION CO CL A	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
14	LIFE INSURANCE TRUST	No			
14.1	Principal Universal Life Insurance	N/A	\$250,001 - \$500,000		None (or less than \$201)
14.2	Prudential SUL protector Universal Life Insurance Policy	N/A	\$250,001 - \$500,000		None (or less than \$201)
14.3	Met Life - New England Mutual Life Universal	N/A	\$1,000,001 - \$5,000,000	Dividends	\$50,001 - \$100,000

7. Transactions

(N/A) - Not required for this type of report

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	First Republic		Exercised Line of Credit	\$500,001 - \$1,000,000	2017	variable	NO TERM - REVOLVING HOME EQUITY LINE OF CREDIT
2	First Republic	See Endnote	Exercised Line of Credit	\$1,000,001 - \$5,000,000	2013	3.75%	10 years
3	First Republic Mortgage #1		Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2018	variable	5/1 ARM
4	First Republic Mortgage #2	See Endnote	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2013	2.625%	30 years
5	Morgan Stanley	See Endnote	Personal Loan	\$1,000,001 - \$5,000,000	2016	variable	revolving

9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

Endnotes

PART	#	ENDNOTE
2.	1.1	CONSTRUCTION AND ENGINEERING
2.	1.2	COMMERCIAL STAFFING SERVICES
2.	1.5	INSURANCE
2.	1.6	Aerospace and Defense Company.

PART	#	ENDNOTE
2.	1.9	PHARMACEUTICALS
2.	1.10	INSURANCE
2.	1.15	BEVERAGES
2.	1.16	FOOD & STAPLES RETAILING
2.	1.18	INDUSTRIAL CONGLOMERATES
2.	1.19	BANKS
2.	1.20	TRANSPORTATION
2.	1.21	BANKS
2.	1.22	ELECTRIC
2.	1.23	ELECTRIC
2.	1.24	HEALTHCARE PRODUCTS
2.	1.28	BANKS
2.	1.29	DIVERSIFIED FINANCIAL SERVICES
2.	1.30	MACHINERY-CONSTR & MINING
2.	1.32	AUTO MANUFACTURERS
2.	1.33	REAL ESTATE
2.	1.34	ELECTRONICS
2.	1.36	PHARMACEUTICALS
2.	1.37	HOME FURNISHINGS
2.	1.38	PHARMACEUTICALS
2.	1.39	CHEMICALS
2.	1.41	TELECOMMUNICATIONS

PART	#	ENDNOTE
2.	1.42	ENERGY EQUIPMENT & SERVICES
2.	1.43	COMMERCIAL SERVICES & SUPPLIES
2.	1.44	OFFICE/BUSINESS EQUIPMENT
2.	1.46	Financial Services Company
2.	1.51	MEDIA
2.	1.52	Retail Company
2.	4	Pinnacle Advisors has performed work regarding a transaction for a minority stake in a commercial enterprise, and will receive a commission if the transaction closes. If the transaction does not close, Pinnacle Advisors will not receive this commission. Pinnacle Advisors' commission is based on a fixed percentage according to a formula. Under that formula, Pinnacle Advisors and Pinnacle Management, which has also performed work in service of this transaction, will each receive 50% of any commission up to \$10 million, and Pinnacle Advisors will receive 40% of any commission that exceeds \$10 million. The amount of the commission received will ultimately depend on the sale price, which is subject to negotiation between the buyer and seller; thus I have provided a good faith estimate.
8.	2	THIS LOAN WAS RECENTLY PAID IN FULL DUE TO THE SALE OF REAL ESTATE ON 9/15/2017.
8.	4	THIS LOAN WAS RECENTLY PAID IN FULL DUE TO THE SALE OF REAL ESTATE ON 09/15/2017.
8.	5	THIS IS A VARIABLE RATE LINE OF CREDIT SECURED BY FILER'S SECURITIES.

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).
